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 United States Patent and Trademark Office
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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/777,093	02/13/2004		A-10041

181
 MILES & STOCKBRIDGE PC
 1751 PINNACLE DRIVE
 SUITE 500
 MCLEAN, VA 22102-3833



CONFIRMATION NO. 4549

FORMALITIES LETTER



OC000000012602314

Date Mailed: 05/12/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

09/14/2004 SDIRETA1 00000053 10777093

01 FC:1051

130.00 US

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
 - The drawings must be reasonably free from erasures and must be free from alterations, overwriting, interlineations, folds, and copy marks. See Figure(s) 15.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$130 for a Large Entity

- \$130 Late oath or declaration Surcharge.

• Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

E. L. Murphy
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Large Entity)

Docket No.
A-10041

In Re Application Of: Ivo V. IVANOV, Dirk Alvin ROPER, and Wayne Patrick FERBERT

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/777,093	02/13/2004		181		4549

Invention: DYNAMIC REBALANCING OF ASSETS IN AN INVESTMENT PORTFOLIO



Mail Stop Missing Parts
COMMISSIONER FOR PATENTS:

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on
May 12, 2004
Date

Enclosed herewith for filing are the following:

- A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). (REQUIRED)
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- A properly signed oath or declaration in compliance with 37 CFR 1.63.
- An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- Other (list):

Assignment recordation cover sheet; additional \$80.00 to cover for the assignment fee

Preliminary Amendment

Information Disclosure Statement

Form PTO-1449

Declaration for Utility Application Using an Application Data Sheet

Application Data Sheet

Power of Attorney and Correspondence Address Indication Form executed by Ivo V. Ivanov

Power of Attorney and Correspondence Address Indication Form executed by Dirk Alvin Roper

Power of Attorney and Correspondence Address Indication Form executed by Wayne Patrick Ferbert

09/14/2004 SDIRETA1 00000054 10777093

01 FC:1252

420.00 0P

Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Large Entity)

Docket No.
A-10041

In Re Application Of: Ivo V. IVANOV, Dirk Alvin ROPER, and Wayne Patrick FERBERT

Application No. 10/777,093	Filing Date 02/13/2004	Examiner	Customer No. 181	Group Art Unit	Confirmation No. 4549
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Invention: DYNAMIC REBALANCING OF ASSETS IN AN INVESTMENT PORTFOLIO

TO THE COMMISSIONER FOR PATENTS:

Mail Stop Missing Parts

Completion of application fees as calculated below:

Utility application filing fee _____

Design application filing fee _____

Total number of independent claims = _____

Total number of claims = _____

Multiple dependent claims _____

Surcharge for late payment of filing fee and/or late filing of original declaration or oath \$130.00

Petition and fee for filing by other than all the inventors or a person not the inventor _____

Fee for processing an application filed with a non-English language specification _____

Fee for processing and retention of application _____

Total completion of application fees \$130.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

One month Two months Three months Four months Five months

from: July 12, 2004 *Date* until: September 12, 2004 *Date*

Total time extension fees \$420.00

Total fees due \$550.00

Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533) (Large Entity)

Docket No.
A-10041

In Re Application Of: Ivo V. IVANOV, Dirk Alvin ROPER, and Wayne Patrick FERBERT

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/777,093	02/13/2004		181		4549

Invention: DYNAMIC REBALANCING OF ASSETS IN AN INVESTMENT PORTFOLIO

TO THE COMMISSIONER FOR PATENTS:

Mail Stop Missing Parts

The fee of \$630.00 is to be paid as follows:

- A check in the amount of the fee is enclosed.
- The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 50-1165
- If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 50-1165
- Payment by credit card. Form PTO-2038 is attached.

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Signature

Jason H. Vick, Reg. No. 45,285
Customer No. 181
Miles & Stockbridge PC
1751 Pinnacle Drive, Suite 500
McLean, VA 22102
Telephone: (703) 903-9000

Dated: September 13, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 Cf. 1.8(a)] on
(Date)

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

CC: JHV/sys